

# Sustainable Systems Research

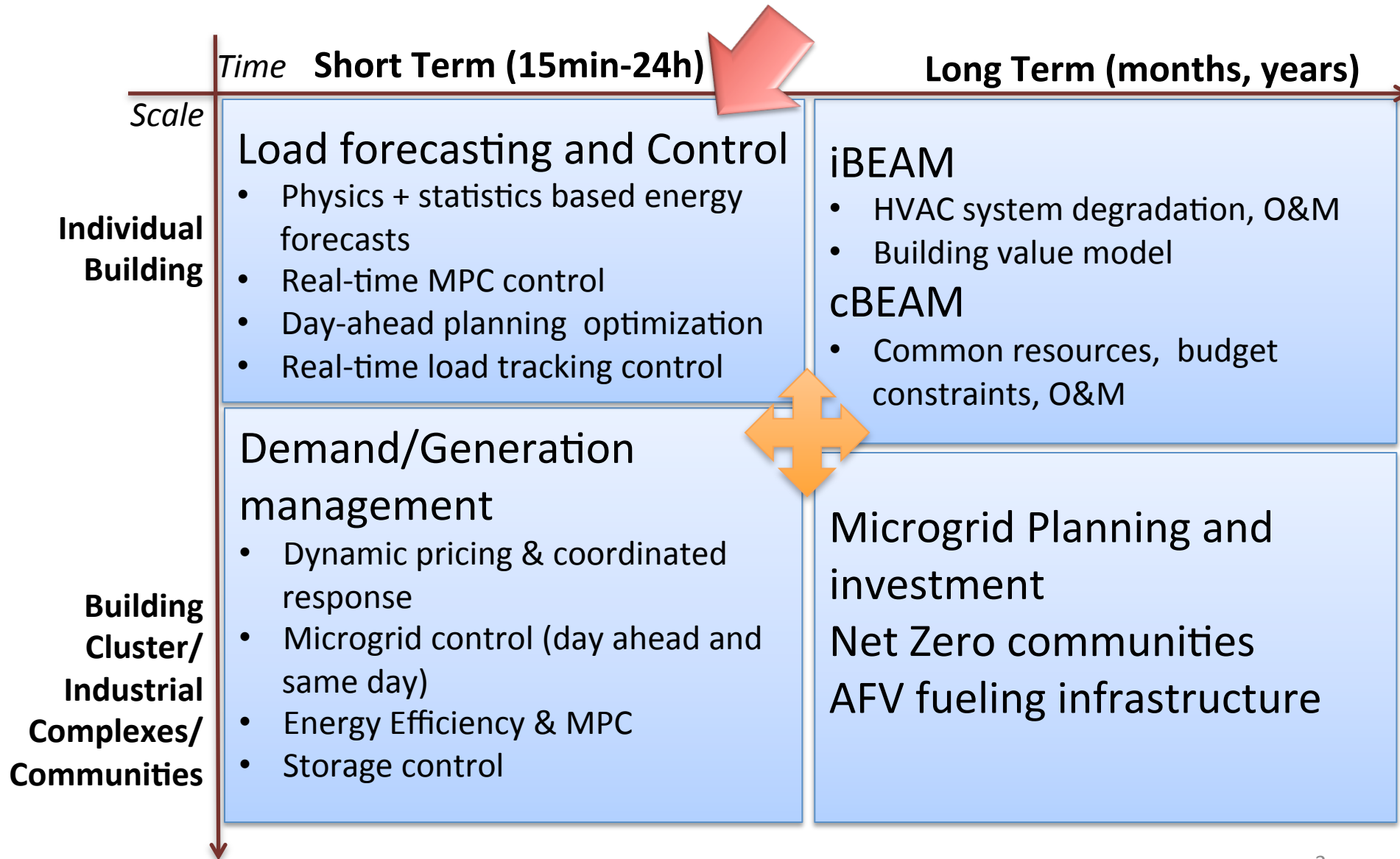
A light blue background featuring a large, semi-circular globe in the center. Surrounding the globe are various white icons representing sustainable technology and nature: wind turbines, solar panels, a hydroelectric dam, a car, a truck, a house, a tree, a leaf, a cloud, a bird, and a recycling symbol. The bottom half of the slide is a solid light blue rectangle.

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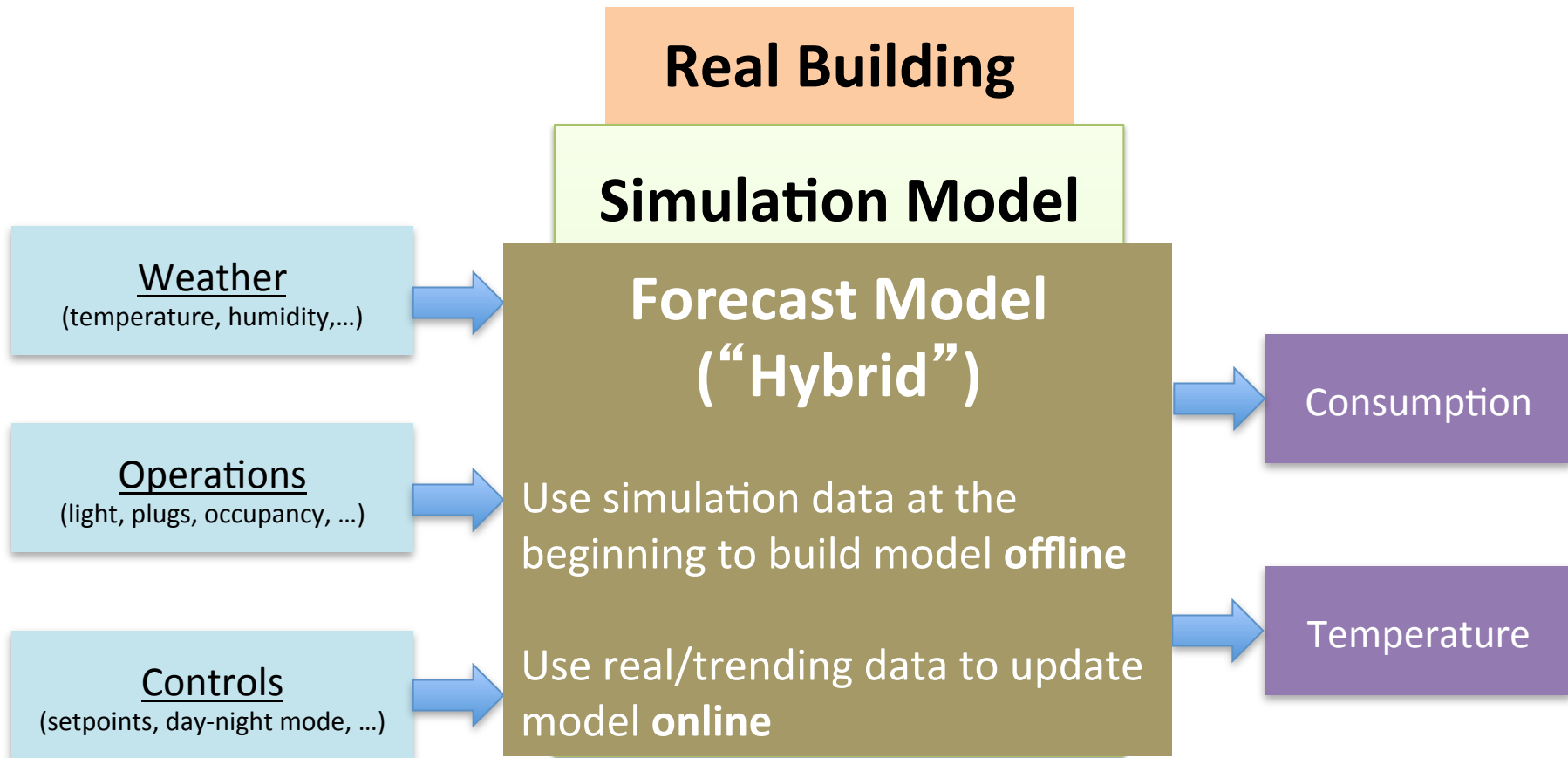
# Overall Review

- Center for Advanced Infrastructure and Transportation (CAIT) – annual funding over \$12M
- Our team –
  - 9 Ph.D. students
  - 2.5 full time staff (programmers)
  - Contractors
  - Annual funding ~ \$1M
  - Areas of research:
    - Energy systems, building, communities, industrial processes
    - Transportation - safety, mobility and energy
  - Funding sources: DOD, DOT, DOE, CEC, FHWA, Siemens, DNV-KEMA, internal

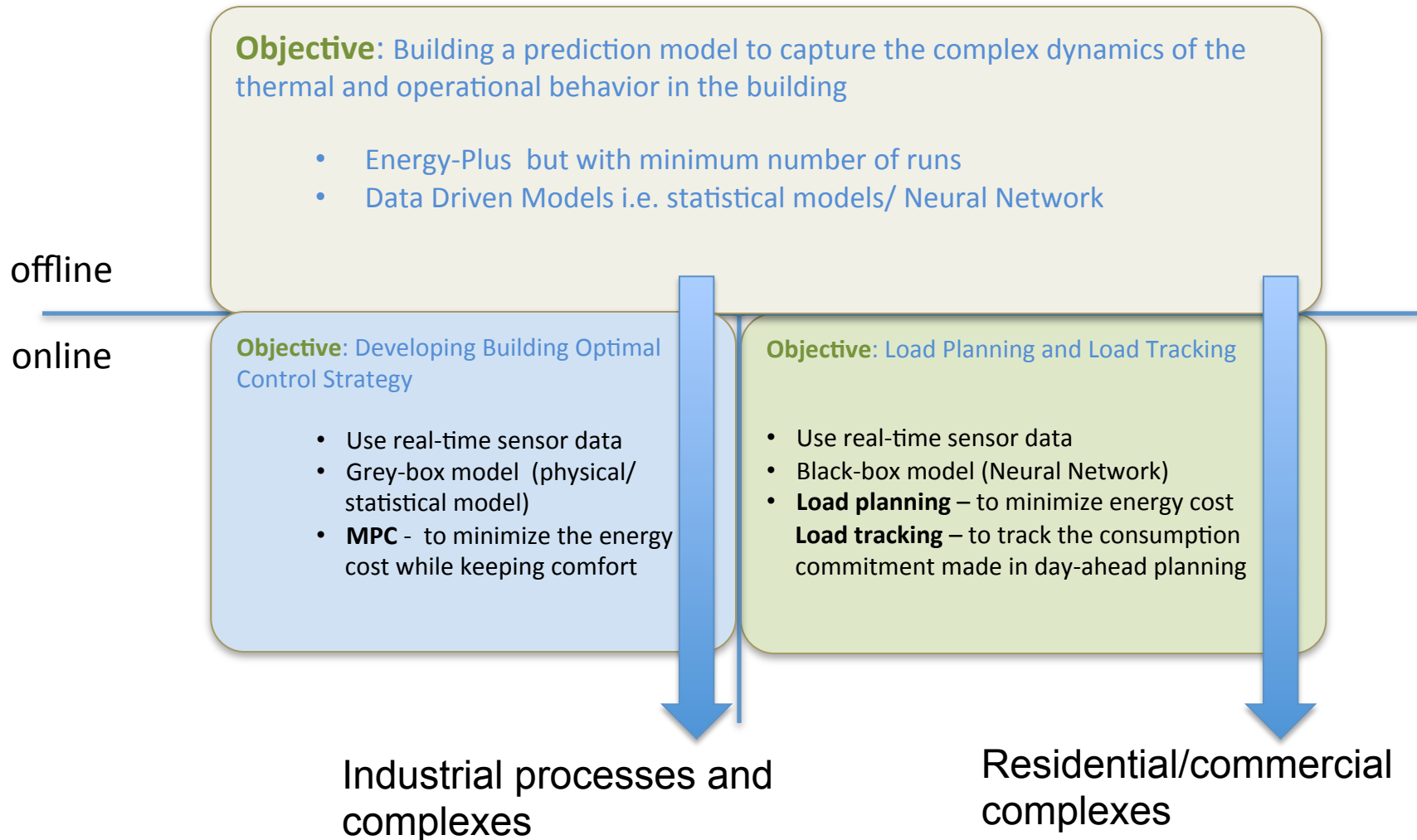
# Research Areas



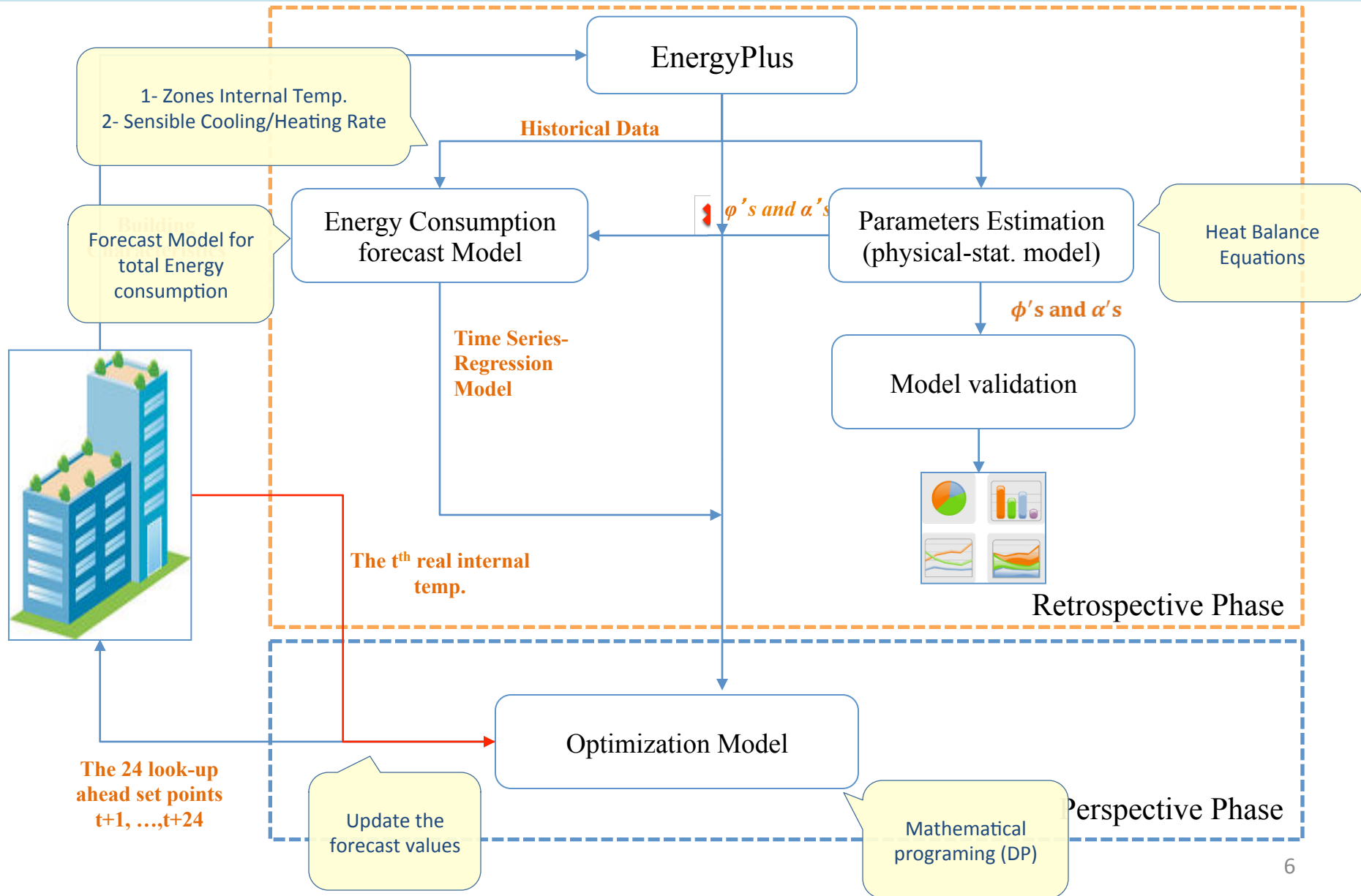
# Load forecasting and Control



# Load forecasting and Control



# Physical-Statistical Model



# Physical-Statistical Model – Parameter Estimation

effective power rate

$$T_{in}^{t+1}(i) = T_{in}^t(i) + \alpha_i R^t(i) + \varphi_i (T_{in}^t(i) - T_{ext}^t(i)) + \varepsilon^t$$

$i_{th}$  zone

Estimated Using the Least Square Error Technique

Effect of other parameters + random effect

1

$$Q_i = \sum_{t=1}^N \left( T_{in}^{t+1}(i) - \hat{T}_{in}^{t+1}(i) \right)^2$$

$$\frac{\partial Q_i}{\partial \alpha_i} = 0$$

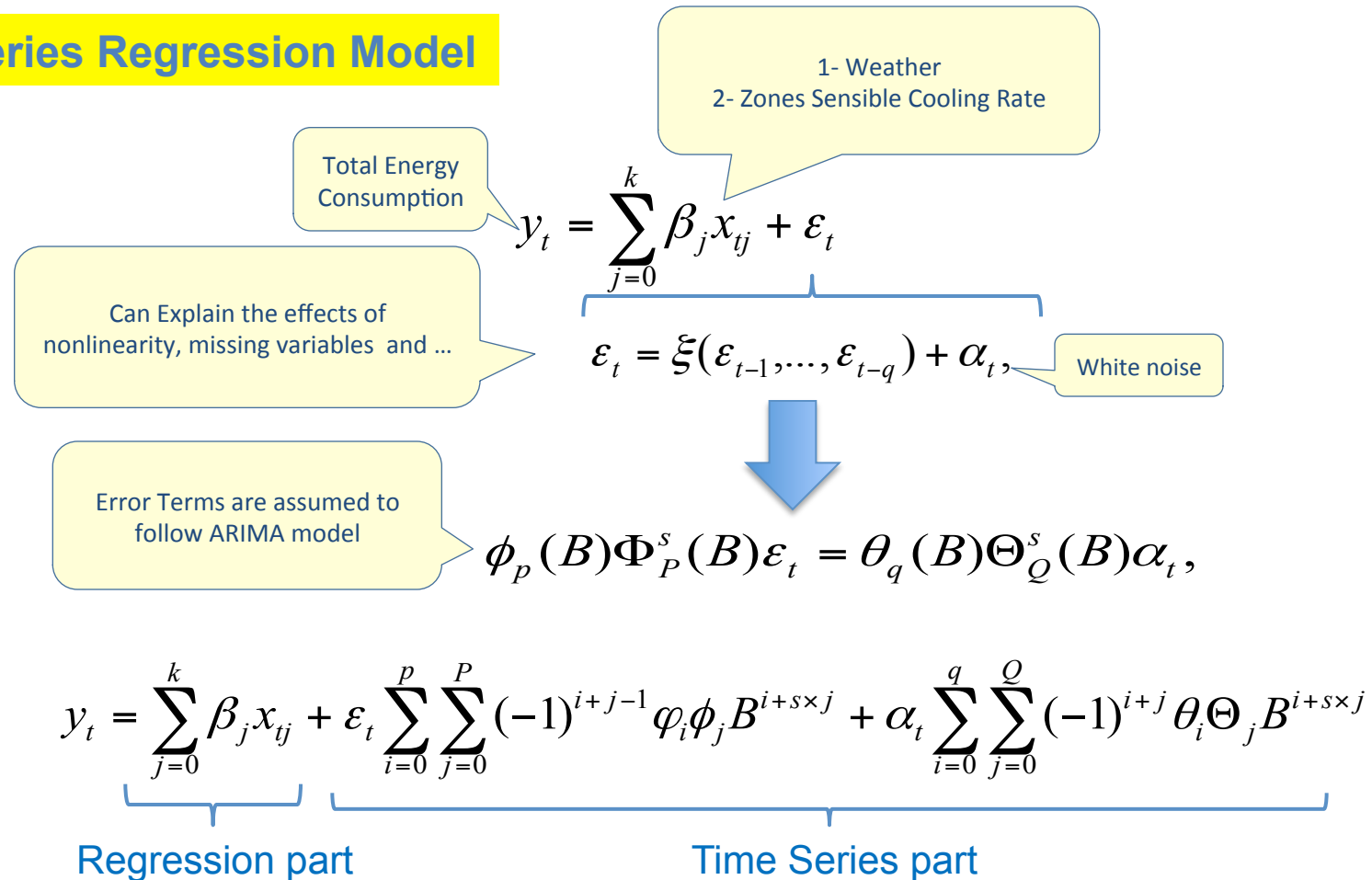
$$\hat{\alpha}_i = \frac{\sum_{i=1}^N R^t(i) \cdot \Delta T_i^t \sum_{i=1}^N (\Delta \tau_i^t)^2 - \sum_{i=1}^N \Delta T_i^t \cdot \Delta \tau_i^t \sum_{i=1}^N \Delta T_i^t \cdot R^t(i)}{\sum_{i=1}^N R^t(i)^2 \sum_{i=1}^N (\tau_i^t)^2 - \sum_{i=1}^N (R^t(i) \cdot \Delta \tau_i^t)^2}$$

$$\frac{\partial Q_i}{\partial \varphi_i} = 0$$

$$\hat{\varphi}_i = \frac{\sum_{i=1}^N \Delta T_i^t \cdot \Delta \tau_i^t \sum_{i=1}^N R^t(i)^2 - \sum_{i=1}^N \Delta T_i^t \cdot R^t(i) \sum_{i=1}^N \Delta \tau_i^t \cdot R^t(i)}{\sum_{i=1}^N R^t(i)^2 \sum_{i=1}^N (\tau_i^t)^2 - \sum_{i=1}^N (R^t(i) \cdot \tau_i^t)^2}$$

# Energy Forecast Model

## Time Series Regression Model



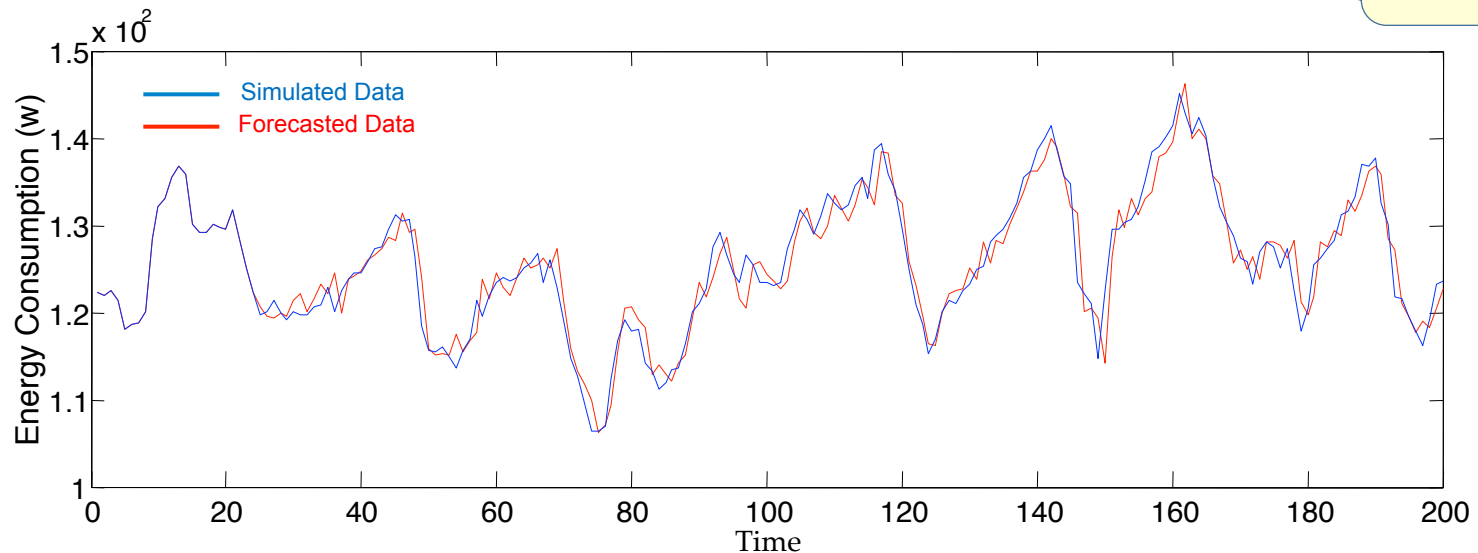
How to Estimate Parameters : Cochrane-Orcutt Transformation



# Physical-Statistical Model – Energy Forecast Model

## Forecast Model Validation

APEP Bldg.  
UCI  
2009 August Data



$$R^2 = \frac{\hat{\boldsymbol{\beta}}^T \mathbf{X}_2^T (\mathbf{I} - \mathbf{H}) \mathbf{X}_2 \hat{\boldsymbol{\beta}}}{\mathbf{y}_2^T (\mathbf{I} - \mathbf{H}) \mathbf{y}_2}$$

$$R^2 = 95.7\%$$

$$R_{adj}^2 = \frac{\hat{\boldsymbol{\beta}}^T \mathbf{X}_2^T (\mathbf{I} - \mathbf{H}) \mathbf{X}_2 \hat{\boldsymbol{\beta}} / k - 1}{\mathbf{y}_2^T (\mathbf{I} - \mathbf{H}) \mathbf{y}_2 / n_2 - k}$$

$$R_{adj}^2 = 94.3\%$$

# Physical-Statistical Model – Optimization Model

There are two Objective Functions

$$G_1(.) \equiv \underbrace{\sum_{k=1}^{N-1} c_{t+k} y_{t+k} (R^{t+k+1}, T_{ext}^{t+j}). \Delta t}_{\text{Usage Cost}} + \underbrace{\kappa \cdot \max_{k \in t_d} \{ y_{t+k} (R^{t+k+1}, T_{ext}^{t+j}) \Delta t \}}_{\text{Demand Charge Cost}}$$

$$G_2(.) \equiv \sum_{k=1}^N \left( p_1 |\delta_{t+k}^u| + p_2 |\delta_{t+k}^l| \right)$$

1

temperature violation above the upper / lower bound

Penalty for Exceeding Thermal Comfort Limits

**Obj. Functions is not necessarily additive**

# Physical-Statistical Model – Optimization Model

## Constraints

1 
$$\hat{T}_{in}^{t+j}(i) = \hat{T}_{in}^{t+j-1}(i) + \hat{\alpha}_i \cdot R^{t+j-1}(i) + \hat{\varphi}_i \left( \hat{T}_{in}^{t+j-1}(i) - \hat{T}_{ext}^{t+j-1}(i) \right)$$

Thermal Balance Eq.

2 
$$T_{min}^{t+j}(i) - \left| \delta_{t+k}^l \right| \leq \hat{T}_{in}^{t+j}(i) \leq T_{max}^{t+j}(i) + \left| \delta_{t+k}^u \right|$$

Thermal Comfort Constraints

$$\delta_{t+k}^l, \delta_{t+k}^u \geq 0$$

$$i = 1, 2, \dots, m \text{ (\# zones)}, j = 1, 2, \dots, N$$

# Physical-Statistical Model – Optimization Model

$$G_1(.) \equiv \min \sum_{k=1}^{N-1} c_{t+k} y_{t+k} (R^{t+k+1}, T_{ext}^{t+j}) \Delta t + \kappa \cdot \max_{k \in t_d} \{y_{t+k} (R^{t+k+1}, T_{ext}^{t+j}) \Delta t\}$$

$$G_2(.) \equiv \min p \sum_{k=1}^N (|\delta_{t+k}^u| + |\delta_{t+k}^l|)$$

S.t.

$$\left\{ \begin{array}{l} \hat{T}_{in}^{t+j}(i) = \hat{T}_{in}^{t+j-1}(i) + \hat{\alpha}_i \cdot R^{t+j-1}(i) + \hat{\varphi}_i (\hat{T}_{in}^{t+j-1}(i) - \hat{T}_{ext}^{t+j-1}(i)) \\ T_{min}^{t+j}(i) - |\delta_{t+k}^l| \leq \hat{T}_{in}^{t+j}(i) \leq T_{max}^{t+j}(i) + |\delta_{t+k}^u| \\ \delta_{t+k}^l, \delta_{t+k}^u \geq 0 \end{array} \right.$$

$$i = 1, 2, \dots, m \text{ (# zones)}, j = 1, 2, \dots, N$$

Dynamic  
Programming

# Neural Network Model

- Non-linear Autoregressive with External Inputs (NARX) Neural Network fits to EnergyPlus simulation data

$$S_{t+1} = f_{NN}(S_t, S_{t-1}, S_{t-2}, \dots, S_{t-d_s}, \\ x_t, x_{t-1}, x_{t-2}, \dots, x_{t-d_x}, \\ u_t, u_{t-1}, u_{t-2}, \dots, u_{t-d_u})$$

$S$ : system states (power, average room temperature)

$x$ : weather and operation factors

(time, month,

dry bulb temp, dew point temp,

lighting load, plug load, occupancy)

$u$ : control inputs (cooling setpoint, heating setpoint)

# Neural Network Model – Model Validation

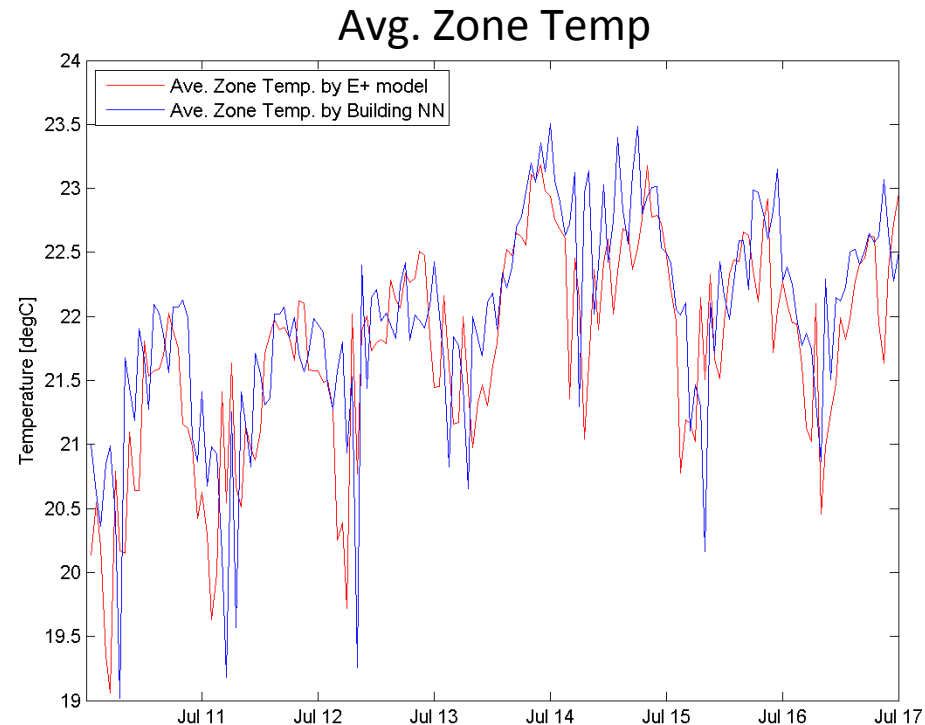
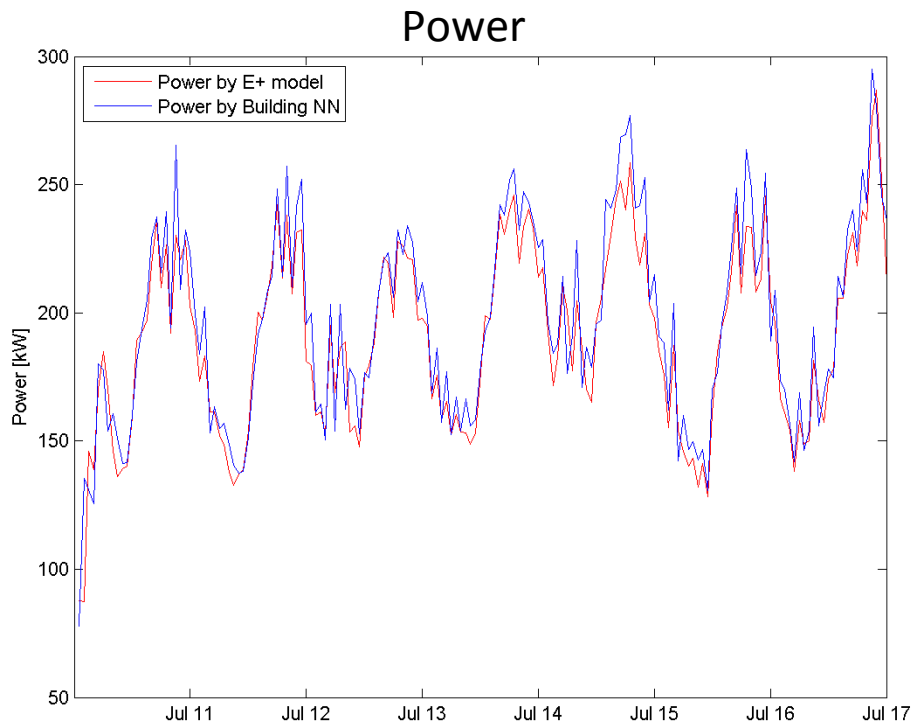
- Model is trained with data generated from 25 year simulation and randomly generated operations and control inputs (to have enough variations)
- NARX with 11 hidden layer nodes and 1 step delay

$$R^2 = 0.9979$$

- Prediction error:

Power:  $\approx 10\text{kW}$

Ave. Zone Temp:  $\approx 1^\circ\text{C}$



# Day-Ahead Planning

- Planning problem formulation

Minimize:  $\sum_{t=1}^{24} F_t$

s. t.:  $F_t = C_t P_t + \alpha U(T_t)$

$U(T_t) = (T_t - T_{opt})^2$  Deviation from optimal  
(comfortable) temperature

$\begin{bmatrix} P_t \\ T_t \end{bmatrix} = \text{NARX\_NN}(W', O', u')$

$F$ : overall cost

$C$ : unit price of energy consumption

$P$ : energy consumption

$\alpha$ : thermal comfort loss coefficient

$U$ : thermal comfort loss

$T$ : room temp

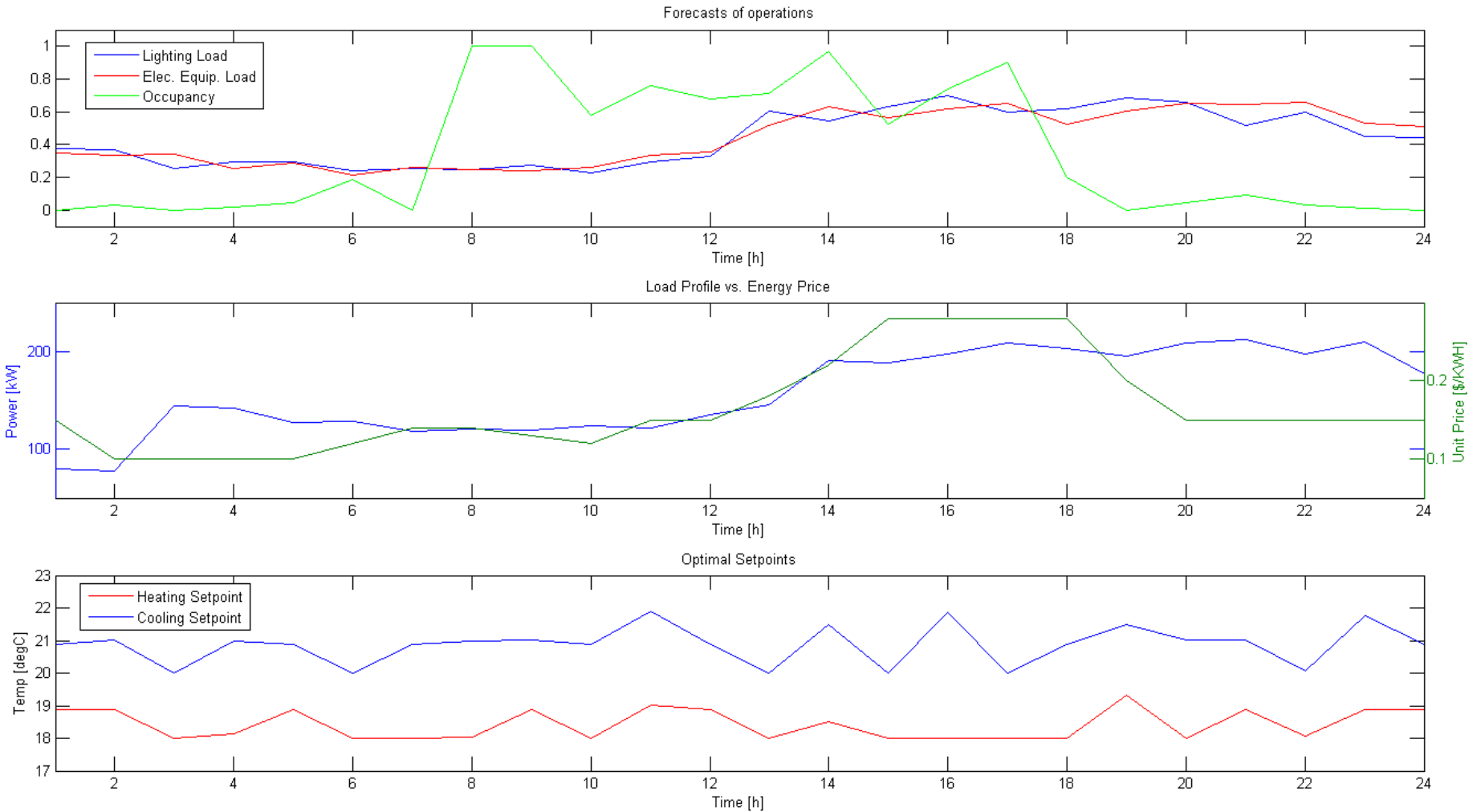
$T_{opt}$ : optimal indoor air temp

**$W'$ : weather forecast**

**$O'$ : operations forecast**

**$u'$ : planned control inputs**

# Neural Network Model – Day-Ahead Planning result





# Real-Time Load Tracking

- Load Tracking problem formulation

$$\text{Minimize: } \sum_{t=1}^{24} D_t$$

$$\text{s. t.: } D_t = CFD_t(P_t - P'_t)^2$$

$$\begin{bmatrix} P_t \\ T_t \end{bmatrix} = NARX\_NN(W, O, u)$$

$D$ : Contract-for-Difference cost

$CFD$ : Contract-for-Difference rate

$P$ : real energy consumption

$P'$ : planned/committed consumption

$T$ : room temp

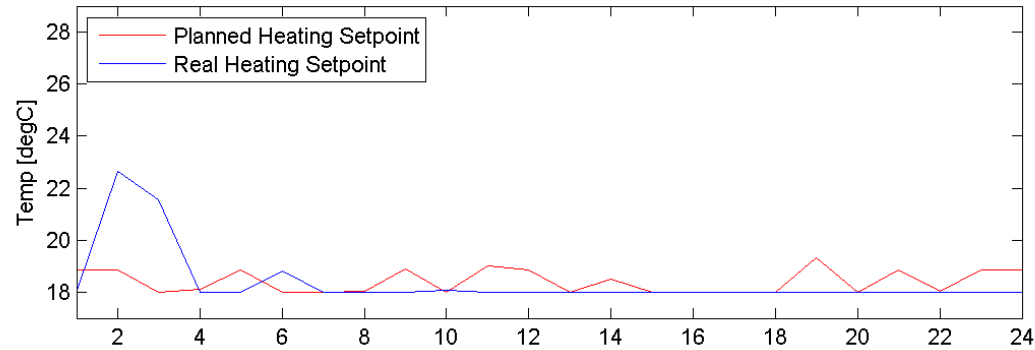
$W$ : real weather

$O$ : real operations

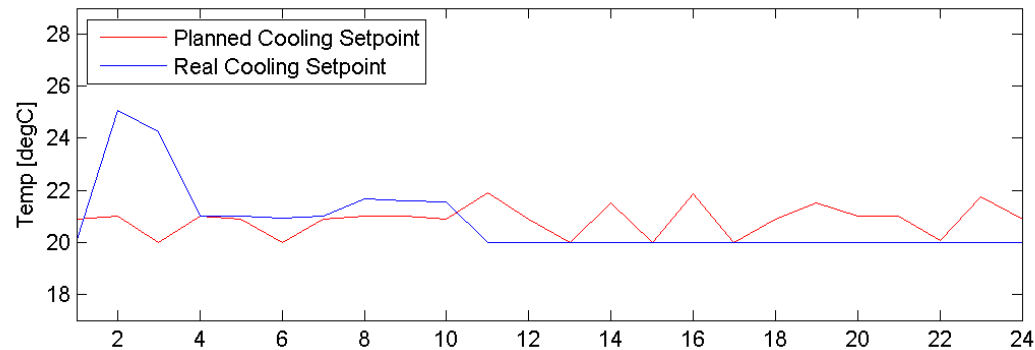
$u$ : real control inputs

# Real-Time Load Control

Heating Setpoint



Cooling Setpoint

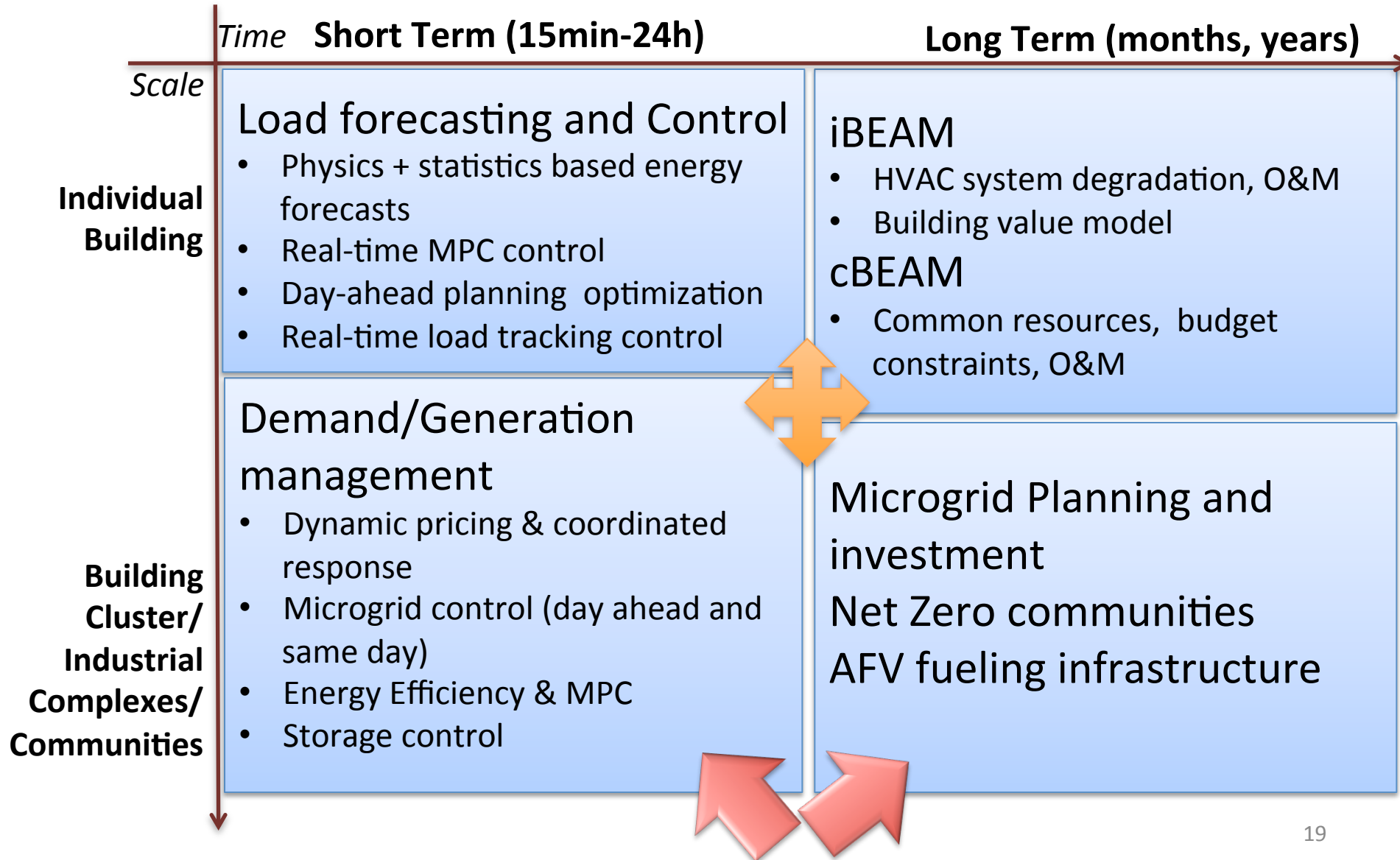


Tracking load deviation:  
<25 KW (12%)

Building Load Profile



# Research Areas



# Dynamic Pricing and Coordinated Response

- Community/complex level planning and control with base loads, plug-ins (EVs)
- Dynamic Pricing
  - Time-of-Use rate is settled 24-hour ahead by automated negotiation between Energy Management Controller (EMC) and each individual building
    - EMC: determines price based on aggregated load profile (forecast) and whole sale market (forecast)
    - Individual building: **load planning** based on price
  - Contract-for-Difference (CFD) price is charged to individual buildings, on the difference between real and committed load profiles
    - Individual building: **load tracking** to minimize CFD charges
    - Coordinated response to minimize CFD charges
- Minimizing demand variations and risks to the grid (distribution)
- Demand Elasticity of use and its contribution to coordination

# Microgrid Planning, control and investment

- Microgrid day-ahead planning and same day control under uncertainty;
- Functional form for MG savings

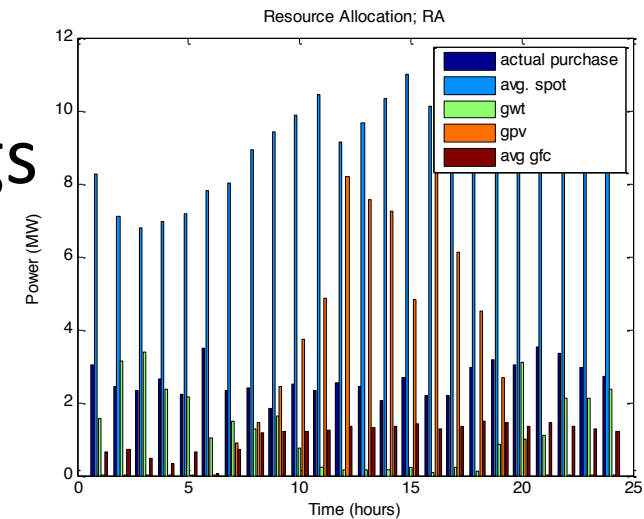
$$Cost_{MG,t} = f(I_{GF,t}, I_{PV,t}, I_{WT,t}, I_{WT,t})$$

$$I_{GF} = \frac{GFCap}{E[D]}$$

$$I_{PV} = \frac{\text{Average Daily PV Electricity Production}}{\text{Average Daily Demand}} = \frac{PVCap}{E[D]} = \frac{C_{PV} \times E[SI]}{E[D]}$$

$$I_{WT} = \frac{\text{Average Daily WT Electricity Production}}{\text{Average Daily Demand}} = \frac{WTCap}{E[D]} = \frac{C_{WT} \times \eta_{WT} \times E[WS^2]}{E[D]}$$

$$I_{ST} = \frac{STCap}{E[D]}$$



# Microgrid Planning, control and investment

- Micro-grid power generation portfolio optimization under uncertainty;
  - short-term uncertainties rising from micro-grid operation, and
  - long-term uncertainties due to future natural gas prices, investment in renewable assets, and financing costs.

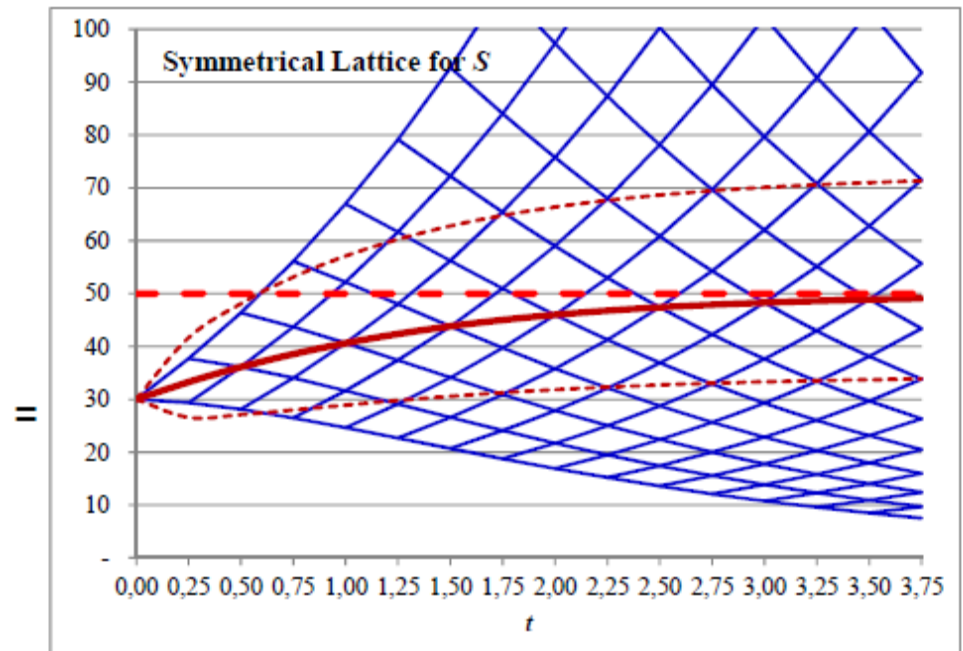
# Microgrid Planning, control and investment

- A solution approach that uniquely combines a general binomial lattice with mixed integer quadratic model for budgeting and a regression model that estimates cost of operation and planning micro-grid with its current resources and load.

$$x'_t = x'_{t-1} + \left(\alpha_c - \frac{\sigma_c^2}{2}\right)\Delta t$$

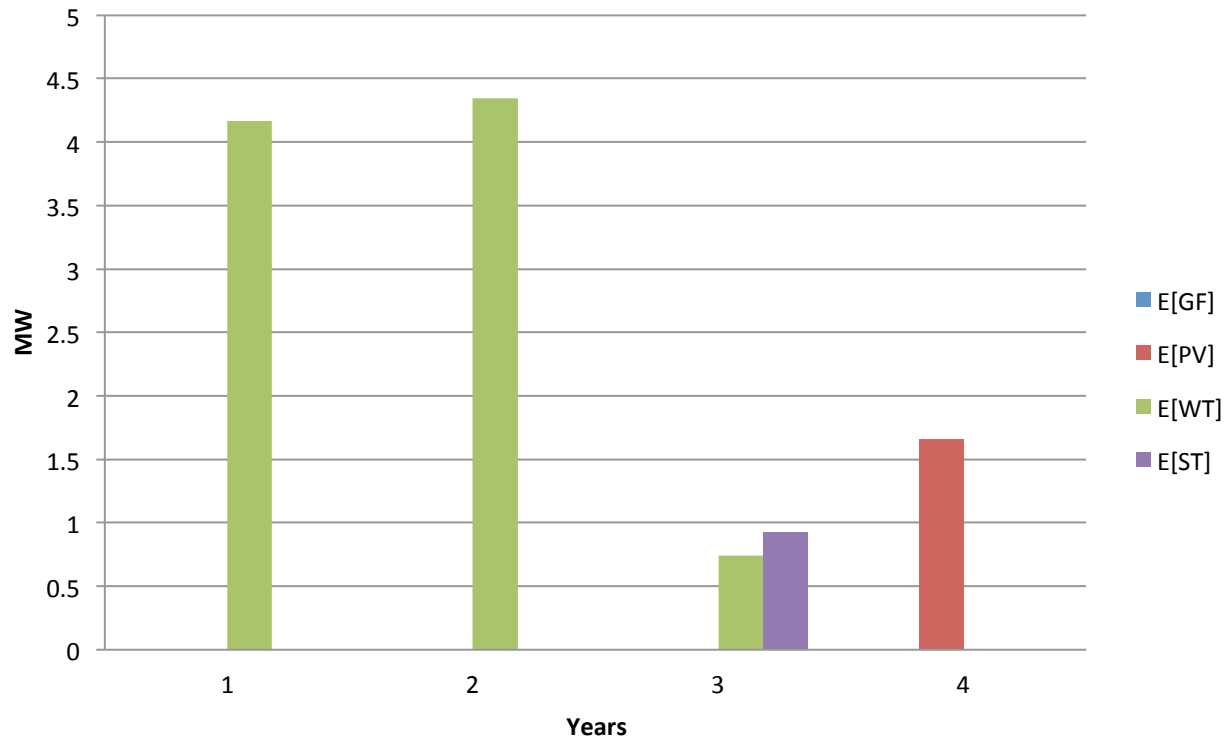
$$x'_t = x'_{t-1} + \left(\alpha_c - \frac{\sigma_c^2}{2}\right)\Delta t$$

$$dC = \alpha_{N.G.} C dt + \sigma_{N.G.} C dZ_{N.G.}$$



# Microgrid Planning, control and investment

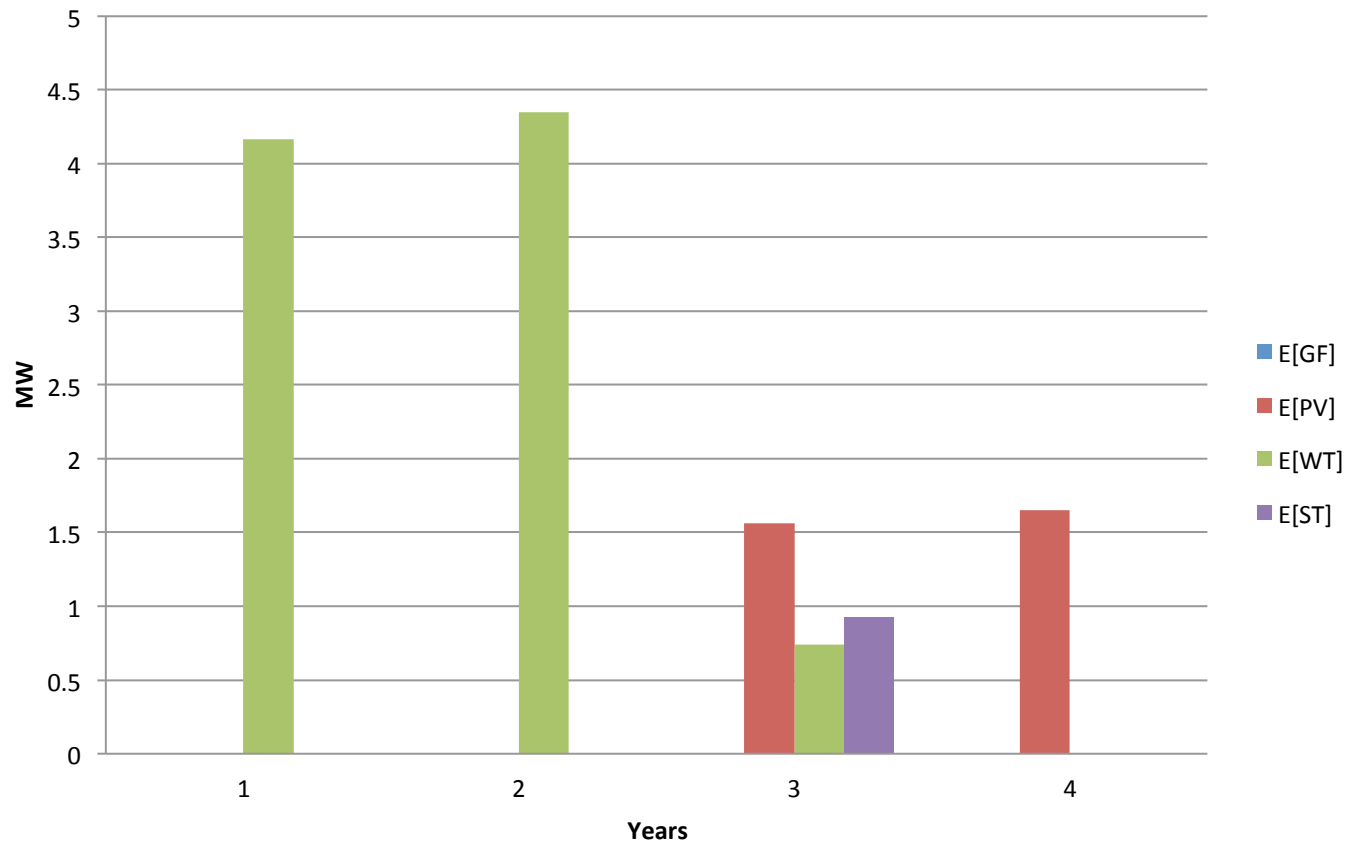
$$Cost_{MG,t} = \beta_{0,t} + \beta_{1,t}I_{GF,t} + \beta_{2,t}I_{PV,t} \times I_{WT,t} + \beta_{3,t}I_{WT,t} \times I_{ST,t}$$



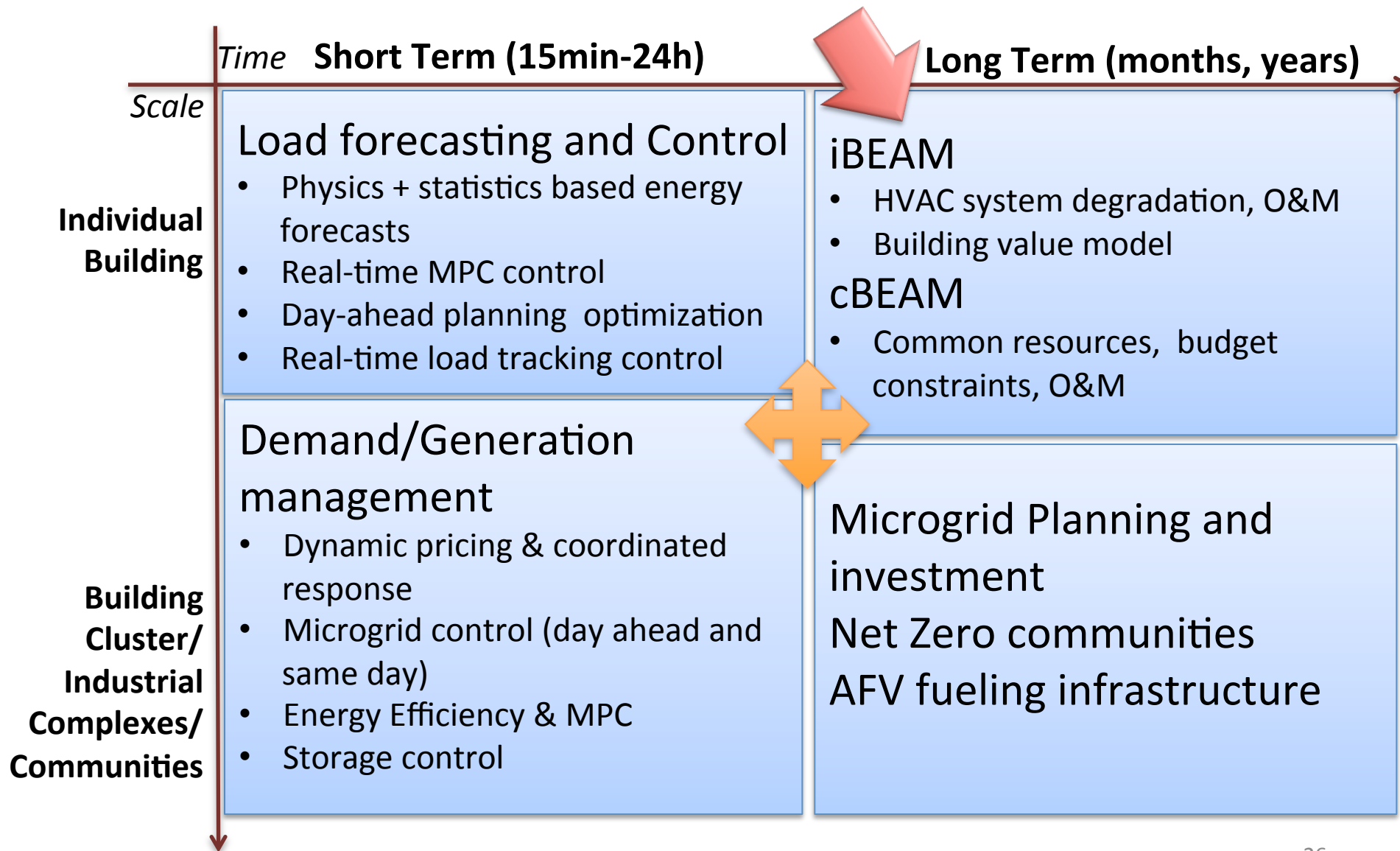


# Microgrid Planning, control and investment

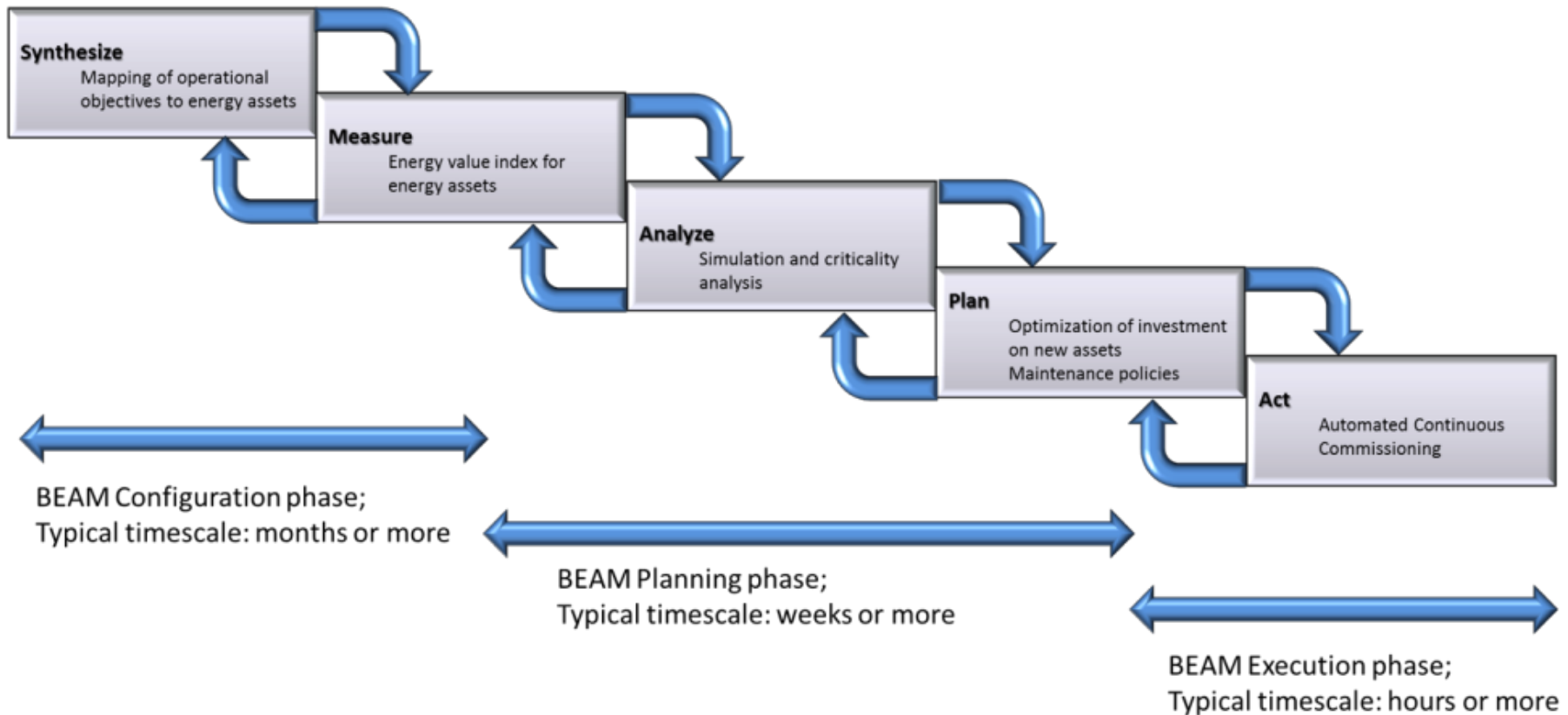
$$Cost_{MG,t} = \beta_{0,t} + \beta_{1,t}I_{GF,t} \times I_{ST,t} + \beta_{2,t}I_{PV,t} \times I_{WT,t} + \beta_{3,t}I_{PV,t} \times I_{ST,t} + \beta_{4,t}I_{WT,t} \times I_{ST,t}$$



# Research Areas



# Building Energy Asset Management (BEAM)



Energy-Plus used in operation and long term planning.

# BEAM O & M Optimization

Objective #1.  $\text{Min}\{\text{Total Building Energy Consumption}\}$

Objective #2.  $\text{Min}\{\text{Total Building Cost}\}$

subject to:

$\text{Total Building Cost} \leq \text{Total Budget}$

Mutually Exclusive O &M Policy Options

We will assume that:

Asset energy consumption  $\sim$  Asset Avg. effective age

$\text{Min}\{\text{Avg. asset effective age}\} \equiv \text{Max}\{\text{Total improvement in asset effective age}\}$

# BEAM O & M Optimization

## Two Types of Optimization for Building O&M

- **O&M Optimization I:**
  - Only direct impacts of O&M policies
- **O&M Optimization II:**
  - Both direct & indirect impacts of O&M policies  
i.e. maintenance policy put on asset 1, not only improves asset 1's effective age, but it also impacts asset 2's effective age (positive or negative impact).

# BEAM O & M Optimization

## Objective #1

Min {Total Building Energy Consumption}

~

Max{Total Assets Energy Performance Improvement}

$$= \text{Max} \left\{ \sum_{t,i,k,l} \Delta_{tikl} \times x_{tikl} \right\}$$

Optimization I & II  
differ in  $\Delta_{tikl}$   
Calculation

Where

$$x_{tikl} = \begin{cases} 1 & \text{if Policy } (t; k, l) \text{ is on asset } i \\ 0 & \text{Otherwise} \end{cases}$$

$\forall t = 1, 2$  (seasons)

$\forall i = 1, \dots, n$  (assets)

$\forall k = 1, \dots, 6$  (maintenance policy in BEAM)

$\forall l = 1, \dots, m$  (frequency)

# BEAM O & M Optimization

## Objective #2

$$\text{Total Building Cost} = \text{Total Preplanned Action Cost} + \text{Asset Penalty Cost} + \text{Unexpected Reactive Cost}$$

Fixed maintenance Cost

Cost upon asset failure

$$\text{Total Building Cost} = \text{Total Preplanned Action Cost} + \text{Asset Penalty Cost}_{\text{BaseOption}} - \text{Reduction in Penalty Cost} + \text{Unexpected Reactive Cost}_{\text{BaseOption}} - \text{Reduction in Unexpected Reactive Cost}$$

Due to reduction in # failures

Reduction in Penalty Cost + Reduction in Unexpected Reactive Cost = Total Reduction in Unexpected Cost

$$\text{Min \{Total Building Cost\}} = \text{Min \{Total Preplanned Action Cost - Total Reduction in Unexpected Cost\}}$$

# BEAM O & M Optimization

## Objective #2

$$\begin{aligned} & \text{Min}\{Total\ Building\ Cost\} \\ & = \text{Min} \left\{ \sum_{t,i,k,l} \underbrace{(C_{PA_{tikl}}) \times x_{tikl}}_{\text{Total preplanned action cost}} - \underbrace{[(C_{PR_{tikl}}) + (C_{RR_{tikl}})] \times x_{tikl}}_{\text{Total reduction in unexpected cost}} \right\} \end{aligned}$$

Where

$C_{PA} = \text{PrePlanned Action cost} \quad \forall i, \forall (t; k, l)$

$C_{RR} = E(\text{Unexpected Reactive Cost Reduction}) \quad \forall i, \forall (t; k, l)$

$C_{PR} = E(\text{Penalty Cost Reduction}) \quad \forall i, \forall (t; k, l)$



# BEAM O & M Optimization

## Constraints

$$1 \quad \sum_{k,l} x_{tikl} \leq 1 \quad \forall t, i$$

Mutually Exclusive Options

$$2 \quad \sum_{t,i,k,l} [(C_{PA_{tikl}}) - (C_{RR_{tikl}})] \times x_{tikl} \leq B_{limit} - \sum_{t,i} C_{R\_base_{ti}}$$

Total building cost  $\leq$  Total budget

Where

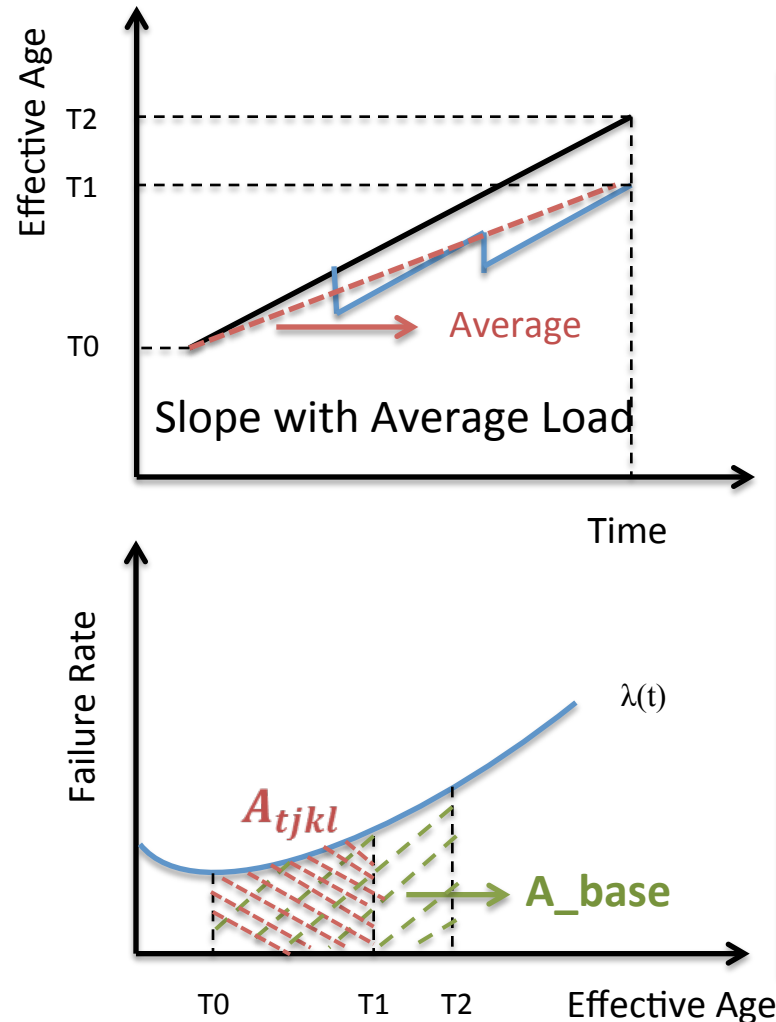
$C_{PA}$  = PrePlanned Action cost  $\forall i, \forall (t; k, l)$

$C_{RR}$  =  $E(\text{Unexpected reactive cost reduction}) \quad \forall i, \forall (t; k, l)$

$C_{R\_base}$  =  $E(\text{Unexpected reactive cost of base option}) \quad \forall t, i$

# BEAM O & M Optimization

## Optimization I, Coefficient Calculation: $C_{R\_base}$



$$A_{base} = \int_{T_0}^{T_2} \lambda(t) = E(\#failure \text{ in base option})$$

$$A_{tikl} = \int_{T_0}^{T_1} \lambda(t) = E(\#failure \text{ in option } (t; k, l) \text{ for } i)$$

$$C_{RR_{tikl}} = (A_{base} - A_{tikl}) \times \frac{(C_{repair_i} + C_{replace_i})}{2}$$

Unexpected reactive cost reduction

$$C_{R_{base}} = A_{base} \times \frac{(C_{repair_i} + C_{replace_i})}{2}$$

Unexpected reactive cost of base option

# BEAM O & M Optimization

## Optimization I, Coefficient Calculation: $C_{P\_base}$

$$C_{PR_{tikl}} = (A_{base} - A_{tikl})$$

Penalty cost  
reduction

*Penalty per failure of asset i*

$$C_{P_{base}} = (A_{base})$$

Penalty cost base  
option

*× Penalty per failure of asset i*

Where

$$C_{PR_{tikl}} =$$

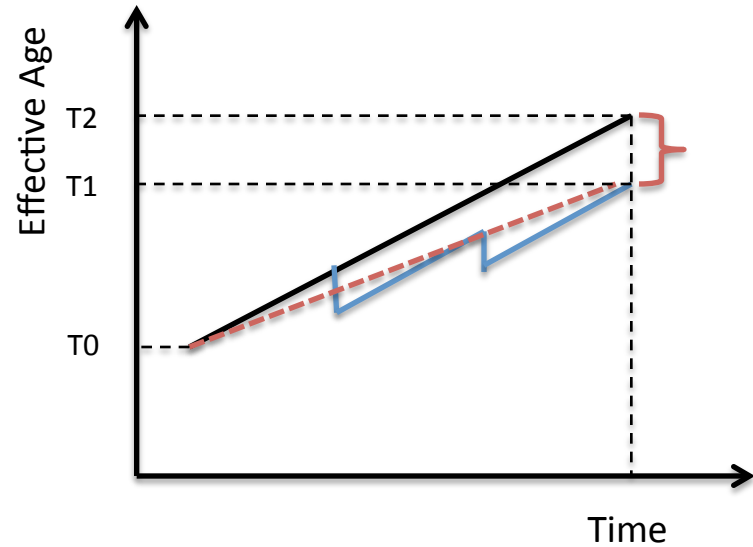
E(Penalty cost reduction for asset *i* with option  $(t; k, l)$ )

Penalty per failure of asset *i* can be obtained from BEAM's BVM-II score.

BVM-II (Building Value Model) score is the \$ value loss per failure of an asset.

# BEAM O & M Optimization

## Optimization I, Coefficient Calculation: $\Delta_{tikl}$



$\forall (t; k, l)$   
for  $i = 1, \dots, n$  assets

$$\delta^{(t;k,l)} = \begin{bmatrix} \delta_{11} & \dots & \delta_{1n} \\ \delta_{21} & \dots & \delta_{2n} \\ \delta_{n1} & \dots & \delta_{nn} \end{bmatrix}$$

Improvement  
dependencies matrix

$\delta_{ii}^{(t;k,l)}$ : Improvement in asset  $i$  as a result of  $(t; k, l)$

$\delta_{ij}^{(t;k,l)}$ : Improvement in asset  $j$  as a result of  $(t; k, l)$   
on asset  $i$

$$\delta_{ij}^{(t;k,l)} \cong 0 \quad \forall i \neq j \text{ (in optimization I)}$$

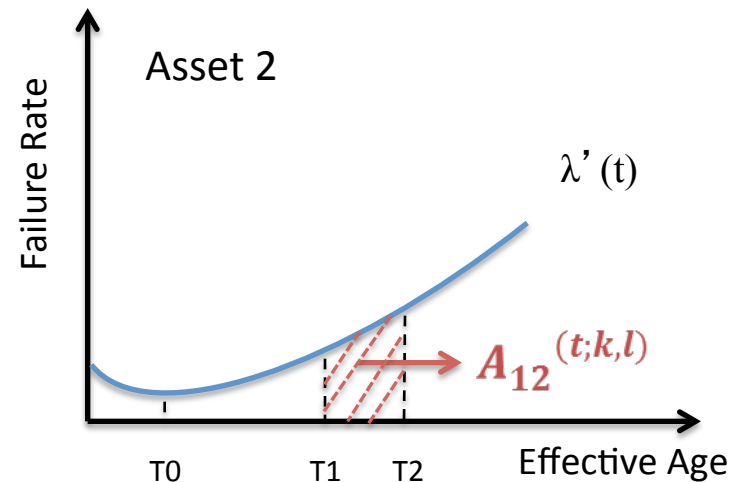
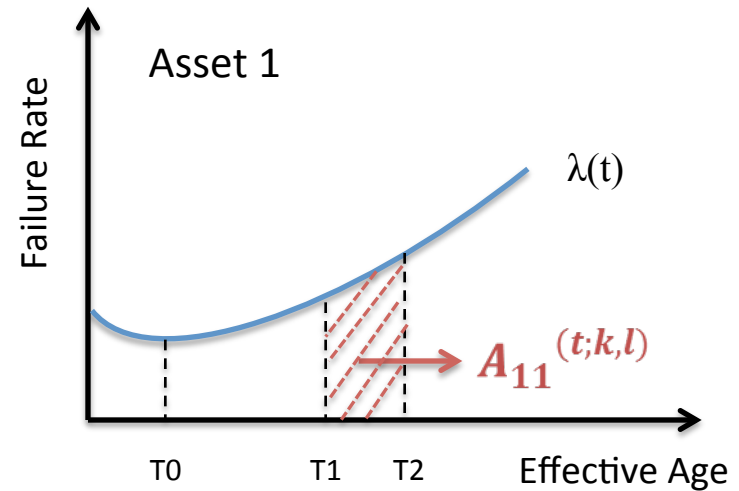
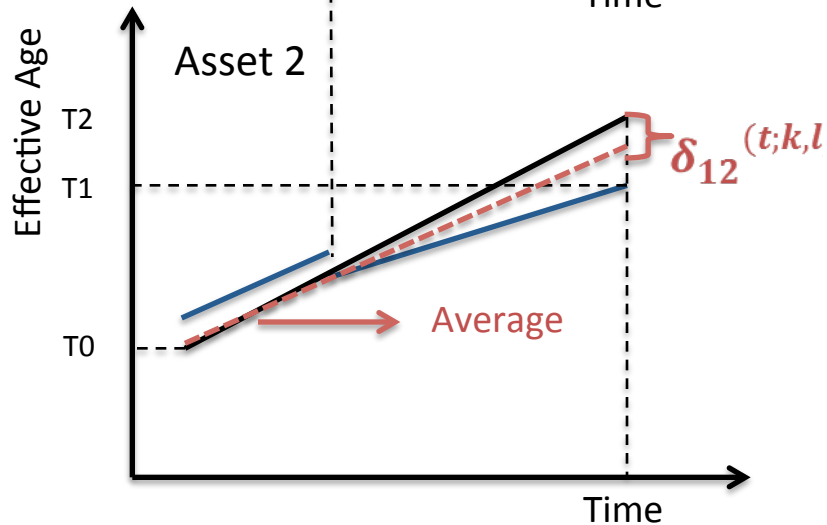
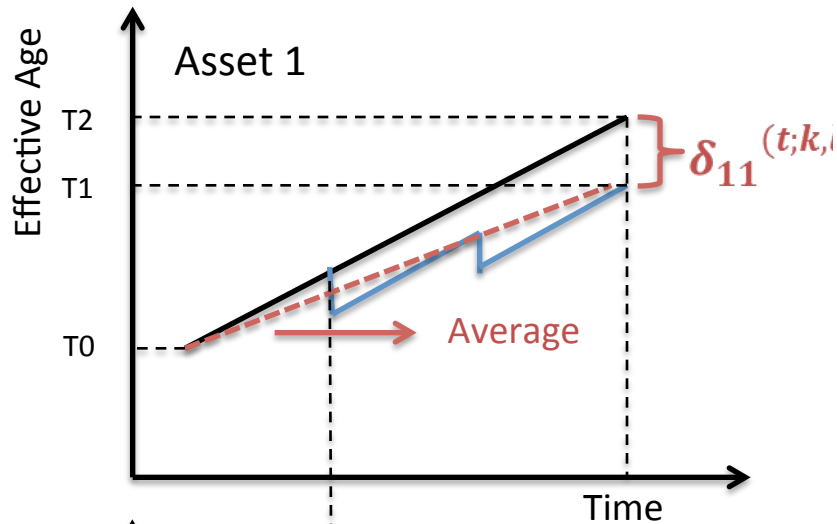
$$\Delta_{tikl} = \delta_{(i,:)}^{(t;k,l)} \times (EW)^T \times (Avg \text{ Seasonal Degradation})_{t,i}$$

Obtained offline from EnergyPlus

$EW$ : Energy Weight Matrix

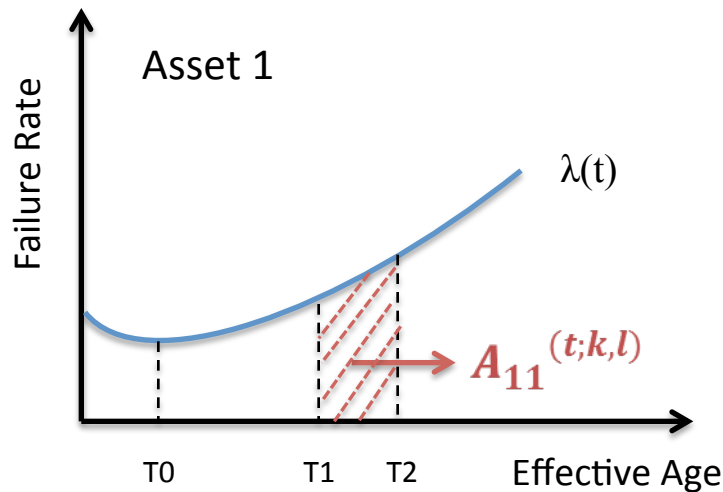
# BEAM O & M Optimization

## Optimization II-2 asset example option $(t;k,l)$ on asset 1

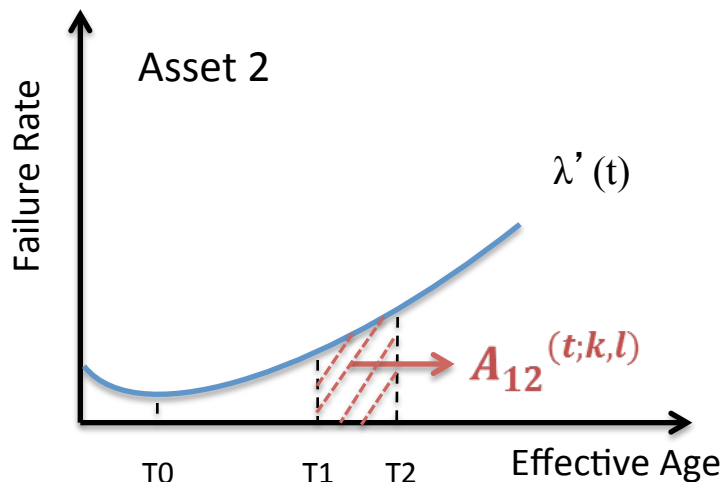


# BEAM O & M Optimization

## Optimization II - option (t;k,l) on asset 1



$$C_{RR_{t_1kl}} = \left[ (A_{11}(t;k,l)) \times \left( \frac{C_{repair_1} + C_{replace_1}}{2} \right) \right] + \left[ (A_{12}(t;k,l)) \times \left( \frac{C_{repair_2} + C_{replace_2}}{2} \right) \right]$$



Where

$C_{RR_{t_1kl}} = E(\text{Unexpected Reactive Cost Reduction for asset } i \text{ with option } (t; k, l))$

# BEAM Optimization

- It is highly unlikely that there exists a feasible solution that optimizes all objectives!
- Instead, we seek a small set of feasible solutions which are non-dominated
- Feasible solution is non-dominated if
  - There is no other feasible solution that is better or equal in all objectives

# BEAM Optimization – Case Study

- Scenario #1-Optimization only on chiller: Optimal policy for chiller : Preventive Maintenance Clock-based type 3, Frequency=3 months
- Scenario #2-Optimization on 6 assets:  
Recommended Optimal Policy are:  
Chiller: Preventive Maintenance Clock-based type 3, Frequency=3 months  
Boiler: Preventive Maintenance Age-based type 3, Frequency=3 months  
Supply Fan 1 (AHU 1): Preventive Maintenance Clock-based type 3, Frequency=3 months  
Supply Fan 2 (AHU 2): Preventive Maintenance Age-based type 3, Frequency=3 months  
Return fan 1 (AHU 1): Preventive Maintenance Clock-based type 3, Frequency=3 months  
Return fan 2 (AHU 2): Preventive Maintenance Age-based type 3, Frequency=6 months



# Energy Savings

(4 year planning)

	Chiller Electricity Consumption	Boiler Gas Consumption	Building Total Electricity Consumption	% Saving in Building Electricity	% Saving in Boiler Gas Consumption
Baseline	1696597.721 KWh	1923835.056 KWh	3588151.297 KWh	-	-
Optimization on Chiller	1565035.065 KWh	1919373.119 KWh	3427283.006 KWh	4.5%	-
Optimization On 6 Assets	1542024.515 KWh	1889991.510 KWh	3395089.094 KWh	5.4%	1.7%*

# Energy Savings

10% degradation increase (4 year planning)

	Chiller Electricity Consumption	Boiler Gas Consumption	Building Total Electricity Consumption	% Saving in Building Electricity	% Saving in Boiler Gas Consumption
Baseline	2560093.637 KWh	1933343.918 KWh	4523347.172 Kwh	-	-
Optimization on Chiller	1659577.289 KWh	1934333.240 KWh	3883931.966 KWh	14.13%	-
Optimization On 6 Asset	1610946.879 KWh	1786283.760 KWh	3522506.937 KWh	22.12%	7.6%